



**ARIZONA DEPARTMENT OF ECONOMIC SECURITY**

1789 W. Jefferson • P.O. Box 6123 • Phoenix, AZ 85005

Janet Napolitano  
Governor

Tracy L. Wareing  
Director

August 21, 2007

**WORKFORCE GUIDANCE LETTER # 01-07**

**SUBJECT: Technical Assistance and Capacity Building Application and Guidelines**

**REFERENCES:** Workforce Investment Act (WIA) of 1998, PL 105-220 Sections 134(a)(2)(B)(iv) and 134(a)(3)(A)(ii). WIA Final Rules, 20 CFR Part 652 Sections 665.200(f) and 665.210(b).

**PURPOSE:** To establish procedures for local workforce investment areas to request funds set aside by the State to support technical assistance and capacity building activities.

**BACKGROUND:** The Workforce Investment Act allows the Governor to reserve a portion of its funds for state use. It requires that these funds be used to conduct certain statewide activities. In accordance with Section 134(a)(2)(B)(iv), one such activity is the provision of technical assistance to local areas failing to meet performance standards. Additionally, the Act authorizes the state to use funds for other allowable activities. Section (a)(3)(A)(ii) identifies one of those other activities as follows:

“provision of capacity building and technical assistance to local areas, one-stop operators, one-stop partners, and eligible providers, including the development and training of staff and the development of exemplary program activities;”

**DEFINITIONS:**

- **Technical Assistance** is the provision of needed resources to ensure that Local Workforce Investment Areas (LWIA) meet their performance measures and to assist LWIA with the development of projects to address problems that are specific to their area.
- **Capacity Building** is the systematic improvement of job functions, skills, knowledge and expertise of employment and training program staff and Workforce Investment Board (WIB) members. Capacity Building is to enhance the effectiveness and to strengthen job training and placement services provided to customers under the Workforce Investment Act. Capacity Building is the responsibility of Workforce Investment Areas and the Arizona Department of Economic Security, as the State WIA Administrative Agency. This is an area in which One-Stop Center partners, program operators and community stakeholders may demonstrate collaborative training activities.

**POLICY:** The availability of state funds to support capacity building and technical assistance initiatives which improve local staff and workforce system capabilities is consistent with an emphasis on continuous improvement in the delivery of services under the WIA. A portion of funds available for this purpose will support training activities and technical assistance projects having statewide benefit. However, the state recognizes that local areas will have unique technical assistance and staff development needs, so funds will be available on an application basis.

In accordance with the Act, technical assistance funds will be used to assist LWIA who have failed to meet or *may* fail to meet performance levels in any of their program initiatives. This may involve development of a performance improvement plan and/or the development of a modified local plan.

Local applications for state technical assistance/capacity building funds will be accepted throughout the program year. Applications must provide the following information:

- A. A summary that describes why the technical assistance/capacity building activities are needed;
- B. A description of the proposed technical assistance/capacity building activities which funds will support;
- C. Identification of who will benefit from technical assistance/capacity building activities;
- D. The amount of funds requested and any other funding sources that will be used to support the project;
- E. Identification of the provider of technical assistance/capacity building services, if selected;
- F. Proposed time line for use of the requested technical assistance/capacity building services; and
- G. Signature of both the Local Workforce Investment Board Chair and Local Workforce Investment Director.

The ADES will award funds based on evidence of the need for proposed technical assistance/capacity building services, ability to address content requirements of application and reasonableness of cost.

Applications for technical assistance/capacity building funds should be directed to:

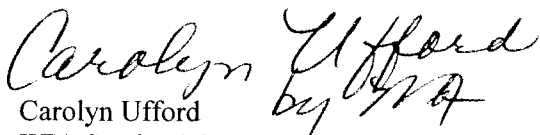
WIA Section Manager  
Arizona Department of Economic Security  
Workforce Investment Act Section  
1789 West Jefferson, Site Code 920Z  
Phoenix, Arizona 85007

**ACTION REQUIRED:** Local areas are encouraged to apply for technical assistance/capacity building funds to support improved delivery of WIA Title IB services and effectiveness of the local one-stop delivery system.

LWIA will use the attached application form (Attachment) to submit technical assistance/capacity building requests. The state strongly encourages LWIA to develop an annual plan for capacity building and technical assistance in order to concentrate efforts and achieve optimum results when applying for the available funds.

If you have any questions please contact Carolyn Ufford, WIA Section Manager at (602) 542-3957 or by email at [CUfford@azdes.gov](mailto:CUfford@azdes.gov).

Sincerely,

A handwritten signature in cursive script that reads "Carolyn Ufford". To the right of the signature, there is a small, stylized mark that appears to be "by [initials]".

Carolyn Ufford  
WIA Section Manager  
Employment Administration

Attachment: Technical Assistance/Capacity Building Application form

## TECHNICAL ASSISTANCE/CAPACITY BUILDING APPLICATION

LWIA NAME: \_\_\_\_\_

DATE: \_\_\_\_/\_\_\_\_/\_\_\_\_

PROJECT NAME: \_\_\_\_\_

\_\_\_\_\_ Technical Assistance Application

\_\_\_\_\_ Capacity Building Application

**Please provide a brief written response to each of the following statements and complete the “Proposed Budget” section of the form:**

- A. Describe why the technical assistance/capacity building funding is needed.
- B. Describe the proposed technical assistance/capacity building activities which the requested funds will support.
- C. Identify who will benefit from technical assistance/capacity building activities.
- D. List the amount of technical assistance/capacity building funds being requested and identify any other funding sources that will be leveraged to fund the project.
- E. Identify provider(s) of technical assistance/capacity building services, if selected.
- F. Propose time line for receipt of technical assistance/capacity building services.
- G. Submit signature of both the Local Workforce Investment Board Chair and Local Workforce Investment Director.

## PROPOSED BUDGET

| ITEM REQUEST             | TOTAL | WIA FUNDS | OTHERS | CB/TA |
|--------------------------|-------|-----------|--------|-------|
| Salaries/Staff           | \$    | \$        | \$     | \$    |
| Professional/Consultants | \$    | \$        | \$     | \$    |
| Learning Materials       | \$    | \$        | \$     | \$    |
| Office Supplies          | \$    | \$        | \$     | \$    |
| Communication Costs      | \$    | \$        | \$     | \$    |
| Space Costs              | \$    | \$        | \$     | \$    |
| Travel/Lodging           | \$    | \$        | \$     | \$    |
| Equipment                | \$    | \$        | \$     | \$    |
| Other                    | \$    | \$        | \$     | \$    |
| Other                    | \$    | \$        | \$     | \$    |
|                          |       |           |        |       |
| <b>TOTALS</b>            |       |           |        |       |

I, \_\_\_\_\_, Chairperson of the \_\_\_\_\_ Local Workforce Investment Board (WIB), have reviewed this application and concur with the use of the funds. I assure that funds will be used in accordance with federal, state and local requirements and that any provider(s) has or will be selected in accordance with applicable procurement requirements.

\_\_\_\_\_  
WIB Chairperson

Date: \_\_\_\_\_

\_\_\_\_\_  
Local Workforce Investment Area Director

Date: \_\_\_\_\_